

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

<b>Applicant:</b>	Andrew E. Fano et al.	
<b>Serial No.:</b>	09/520,943	<b>Conf. No.:</b> 1143
<b>Filing Date:</b>	March 8, 2000	<b>Group Art Unit:</b> 3623
<b>Title:</b>	MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL MANAGER	<b>Examiner:</b> Beth Van Doren
<b>Docket No:</b>	60021-352501	

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

Dear Sir:

Please amend the Title to read as follows:

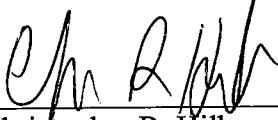
MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL  
MANAGER

Attached for your reference, are copies of the following:

1. A red-lined Filing Receipt showing the above-identified correction; and
2. Copies of pages 1 and 2 of the Amendment filed with the USPTO on July 11, 2003, acknowledged as received by Group 3600 of the USPTO on July 21, 2003.

If any fees are due in connection with the filing of this paper, then the Commissioner is authorized to charge such fees, including fees for any extension of time, to Deposit Account No. 50-1901 (Docket 60021-352501).

Respectfully submitted,

By:   
Christopher R. Hilberg, Reg. No. 48,740  
Customer No. 29838  
Oppenheimer Wolff & Donnelly LLP  
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**FILING RECEIPT**

\*OC00000005086018\*


**UNITED STATES DEPARTMENT OF  
COMMERCE  
Patent and Trademark Office**

 Address: ASSISTANT SECRETARY AND  
 COMMISSIONER OF PATENT AND TRADEMARKS  
 Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/520,943	03/08/2000	2768	690	AND1P525	18	20	3

23053  
 HICKMAN STEPHENS & COLEMAN  
 1901 SOUTH BASCOM AVENUE  
 SUITE 660  
 CAMPBELL, CA 95008

Date Mailed: 05/01/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

ANDREW E FANO, EVANSTON, IL ;  
 SCOTT KURTH, WHEELING, IL ;

**Continuing Data as Claimed by Applicant****Foreign Applications****If Required, Foreign Filing License Granted 04/29/2000**

REC'D MAY 5 2000

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**Title**

SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL MANAGER

**Preliminary Class**

705

**Data entry by : SYDNOR, RUTH****Team : OIPE****Date: 05/01/2000**

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

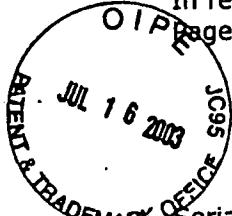
**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

**Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231**

Serial No.: 09/520,943  
In reply to Office Action mailed: March 11, 2003  
O / P Page 1 of 11



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED  
JUL 21 2003  
GROUP 3600

Serial #: 09/520,943  
Applicant: Andrew E. Fano et al.  
Filed: March 8, 2000  
Title: MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL  
MANAGER (amended herein)

Group Art: 3623  
Examiner: B. Van Doren  
Docket #: AND1P525 (60021-352501)

CERTIFICATE OF MAILING

I hereby certify under 37 CFR § 1.8 that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 11, 2003.

Ann Pommier  
Ann Pommier

Commissioner for Patents  
P.O. Box 1450,  
Alexandria, VA 22313-1450

AMENDMENT

In response to an Office action mailed March 11, 2003 (Office Action). Submitted herewith is a Petition for a One Month Extension of Time. Please amend the above-identified application as follows:

**Amendments to the Specification** begins on page 2 of this paper.

**Amendments to the Drawings** begin on page 3 of this paper.

**Amendments to the Claims** are reflected in the listing of claims, which begins on page 4 of this paper.

**Remarks/Arguments** begin on page 9 of this paper.

**Amendments to the Specification**

Please amend the title of the present invention as follows:

~~SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR MAKING FINANCIAL DECISIONS BY BALANCING GOALS IN A FINANCIAL MANAGER~~

Page 13, line 12, after "IBM", insert --<sup>TM</sup>--;  
Page 13, line 13, after "UNIX", insert --<sup>TM</sup>--;  
Page 13, lines 26 and 27, after "Microsoft Windows NT or Windows/95 Operating System (OS)", insert --<sup>TM</sup>--;  
Page 13, line 27, after "IBM OS/2", insert --<sup>TM</sup>--;  
Page 13, line 27, after "MAC OS", insert --<sup>TM</sup>--;  
Page 13, line 27, after "UNIX", insert --<sup>TM</sup>--;  
Page 14, line 1, after "JAVA" insert --<sup>TM</sup>--;  
Page 14, line 1, after "C", insert --<sup>TM</sup>--;  
Page 14, line 1, after "C++", insert --<sup>TM</sup>--;  
Page 17, line 10, after "C++", insert --<sup>TM</sup>--;  
Page 17, line 11, after "C++", insert --<sup>TM</sup>--;  
Page 17, line 12, after "C++", insert --<sup>TM</sup>--;  
Page 17, line 13, after "C++", insert --<sup>TM</sup>--;  
Page 37, line 14, after "Honda", insert --<sup>TM</sup>--;  
Page 37, line 14, after "Toyota", insert --<sup>TM</sup>--;  
Page 37, line 14, after "BMW", insert --<sup>TM</sup>--;  
Page 37, line 26, after "Saturn", insert --<sup>TM</sup>--; and  
Page 37, line 27, after "Saturn", insert --<sup>TM</sup>--.